Australian Government

IP Australia

# AusPat

## User Guide

# Searching Australian Patents

February 2014

P TM D PBR

**Robust intellectual property rights delivered efficiently**

# Welcome to AusPat: IP Australia's patent search system

AusPat is the comprehensive search system for Australian patent data, providing a single point of enquiry for information on Australian patents in a free online patent search tool.

Firstly, we've provided Australian patent specifications dating back to 1904. The initial release of the full text searching capability in December 2010 included approximately 50% of the full collection. Since that time the large majority of the remaining specifications have been added. Previously, only electronic specifications dating back to 1998 were available and these were not text searchable.

Secondly, eDossier provides customers with access to a suite of documents relating to the prosecution of patent applications dating back to 2006 and which are open to public inspection (OPI). This enhancement provides customers with the ability to access the following documentation online:

- requests for examination
- examination reports
- responses to examination reports
- amendments
- search results

These two enhancements mean customers are able to access the majority of the patent records.

A feedback system has been built into AusPat so that you can easily report issues with the system or data. I would encourage you to use this feature so that we can continue to maintain and improve AusPat.

**Fatima Beattie**
**Deputy Director General**
**IP Rights Division**

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Ultrasound
Baby Safety Capsule
Black Box Flight Recorder
Polymer Bank Notes
50
Racecam

# Introduction

IP Australia is the Australian Government agency that administers intellectual property (IP) rights and legislation relating to patents, trade marks, designs and plant breeder's rights.

IP Australia has a wealth of patent data dating back to the inception of the patent office in 1904. In 2008 we consolidated this information into one search system for Australian patent data - AusPat.

Within AusPat you can:

- **search for applications via a range of options**
- **view, sort and print the results of your search**
- **customise the search results page**
- **save searches and applications for easy reference later**
- **view up to 165 discrete data elements for each application**
- **access correspondence via eDossier**
- **subscribe to cases of interest**
- **submit s27 and s28 material to IP Australia**

This user guide provides an introduction to using the features available on AusPat. The "Overview" section provides a pictorial overview of the major features of each screen in the system. The remaining sections contain useful information on how you can use AusPat to search our data and presents a number of technical considerations to keep in mind when using the system.

If you require any further information please visit our website at **www.ipaustralia.gov.au** or email **patentsearch.feedback@ipaustralia.gov.au**

# Overview

## Types of searches

### Quick Search

Quick Search is a simple tool that allows you to quickly search selected fields in AusPat. *See figure 1*.

Quick Search will look for:

- matches in the number
- inventor
- applicant
- agent name
- title fields; and
- when selected, the abstract text

### Structured Search

Structured Search enables you to search across many fields. *See figure 2*.

With Structured Search you can:

- search 25 search fields
- add up to 25 search criteria
- search on text from a published specification in one of the components abstract, description or claims, or in the full specification, by ticking (or selecting) the 'Include Full Text Search' box

### Advanced Search

Advanced Search allows you to enter complex search queries in the free text box. It is only recommended for use by experienced searchers. *See figure 3*.

With Advanced Search you can:

- search 28 search fields
- construct complex Boolean expressions
- use the Name Selector to find variants of applicant and inventor names
- use the Publication Action Selector to find applications with various types of publication actions
- search on text from a published specification in one of the components: abstract, description or claims, when available, or in the full specification by ticking the 'Include Full Text Search' check box
- search on text from a published specification in one of the published document kinds: A, B or C by ticking the 'Include Full Text Search' check box

**Figure 1:** Quick Search

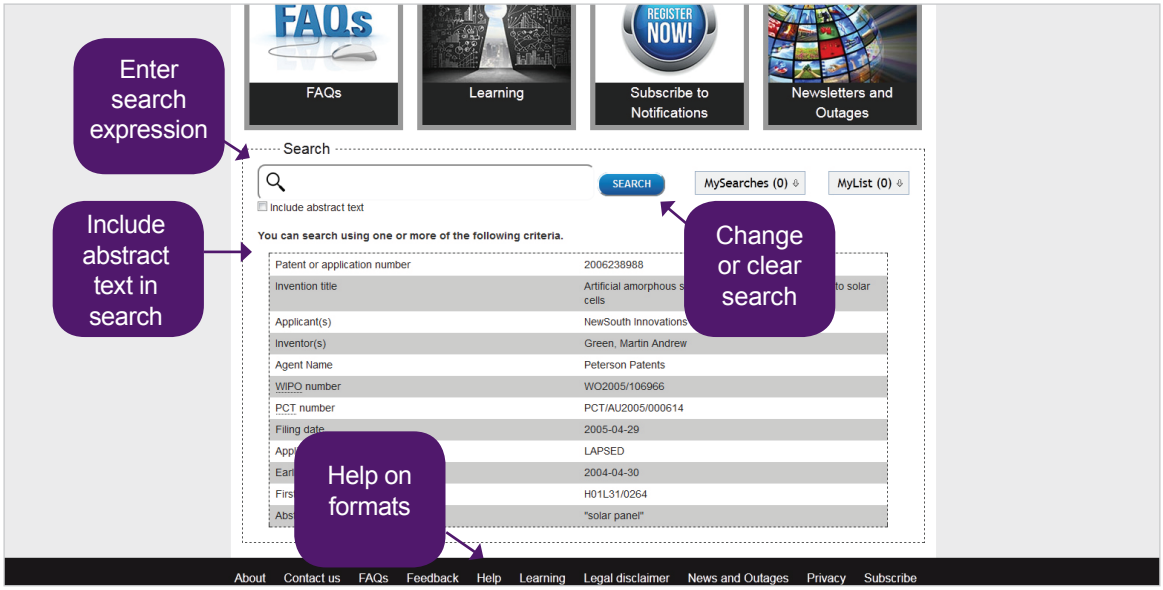


**Figure 2:** Structured Search

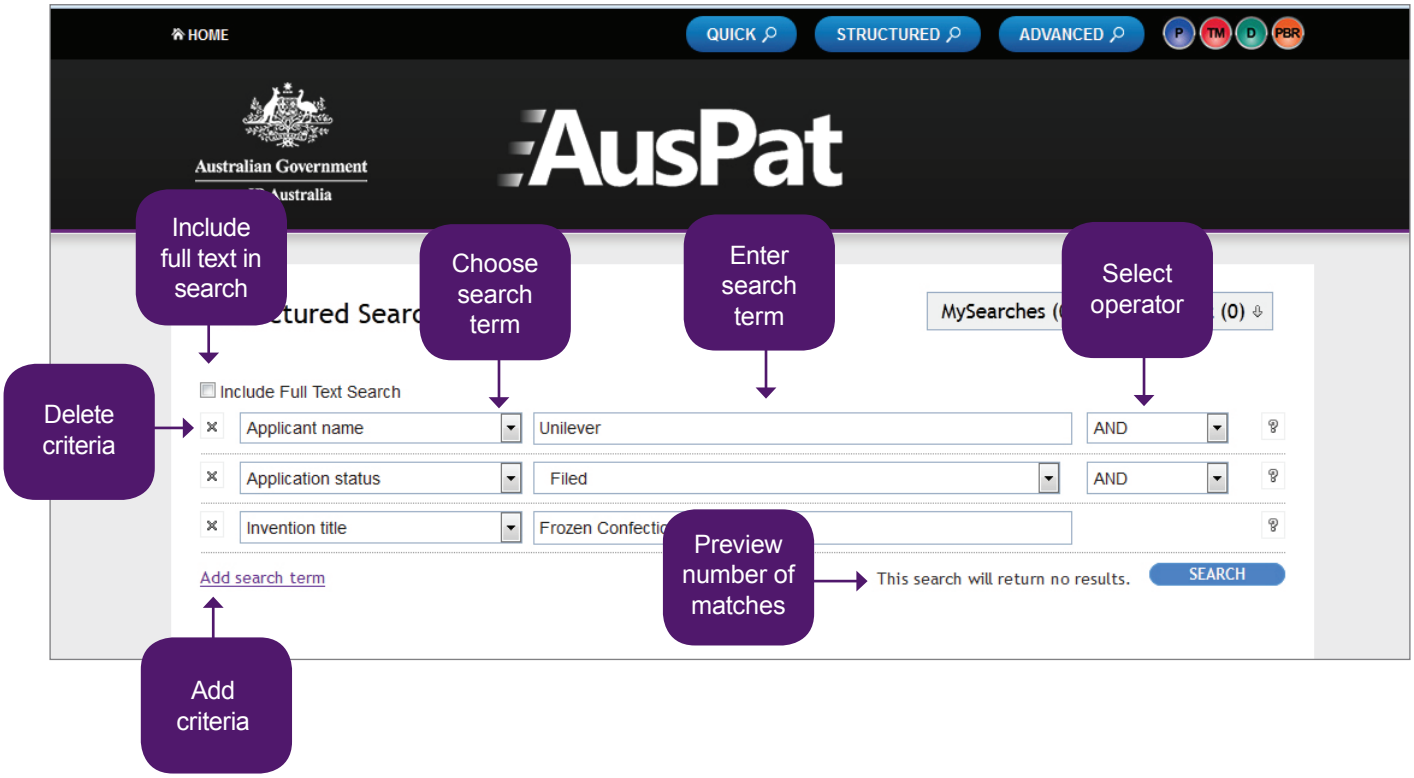
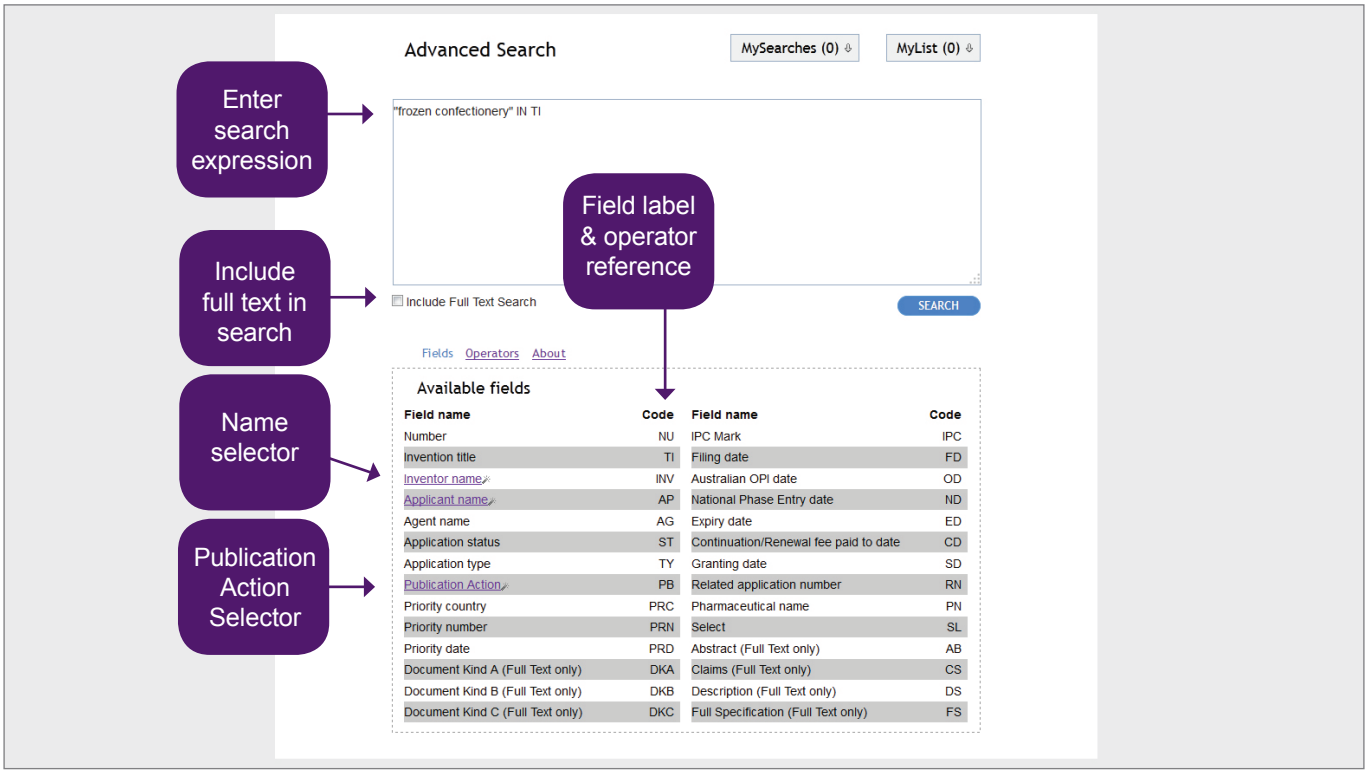



**Figure 3:** Advanced Search



# Results

## Search Results

The Search Results screen is displayed after you have submitted your search. *See figure 4*.

In Search Results you can:

- view results
- build and maintain MyList (see page 16)
- add the search to MySearches (see page 16)
- drill down to details
- refine or search within your results
- open a specification in a new page from a link (where available)

## Application Details

The Application Details screen provides all the information relating to an application and is viewed by clicking on an application number in the search results screen. *See figure 5*.

In Application Details you can:

- view data
- build and maintain MyList
- print application details
- show/hide empty sections
- view specifications (where available)
- view an extract of the Patent Register (where available)

# Features

## eDossier

eDossier is a feature that displays documents associated with a case file. It can be found in the application details page. *See figure 6*.

In eDossier you can:

- view a suite of documents relating to the prosecution of patent applications dating back to 2006 which are open to public inspection (OPI)
- select documents for viewing/saving/printing
- select and retrieve multiple available documents for viewing and/or downloading to a single bookmarked PDF (you may be asked to confirm you are a person as a security measure)
- sort documents by alphabetical order, date, type, status or file size
- subscribe to our email notification service to receive early advice of changes to an application's case file
- submit relevant material (s27, s28) relating to an application

**Figure 4:** Search results

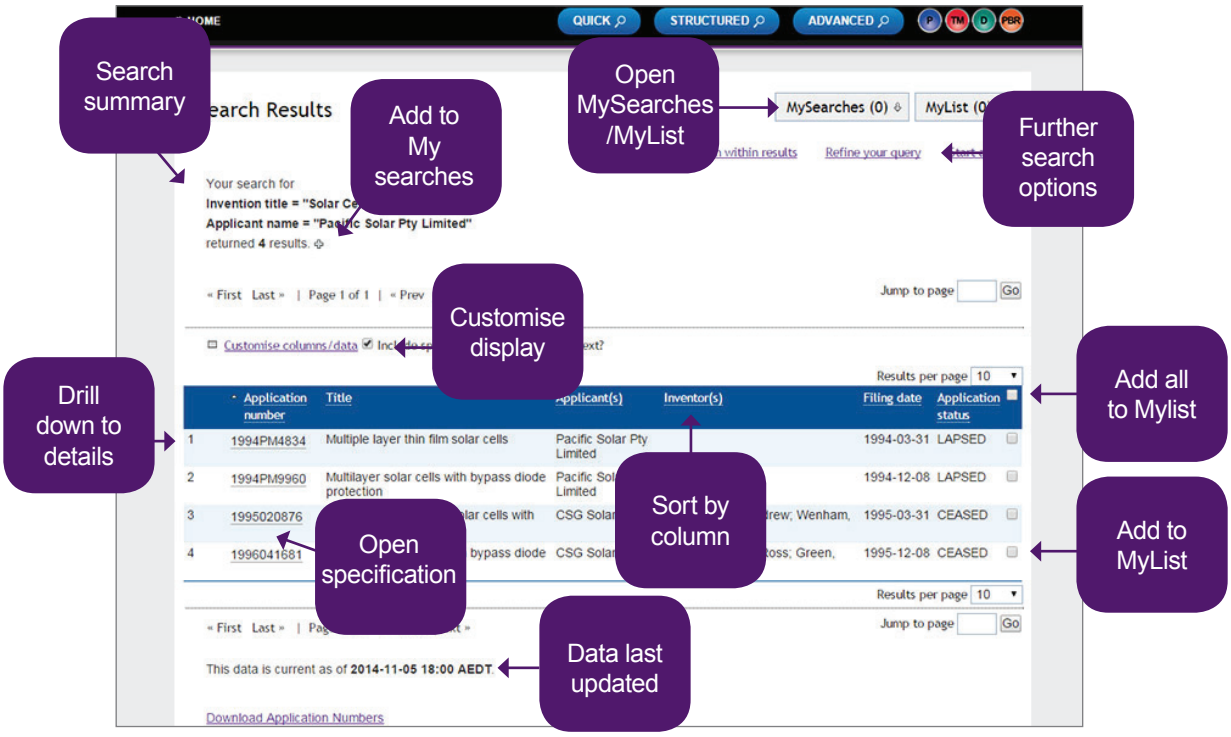


**Figure 5:** Application Details

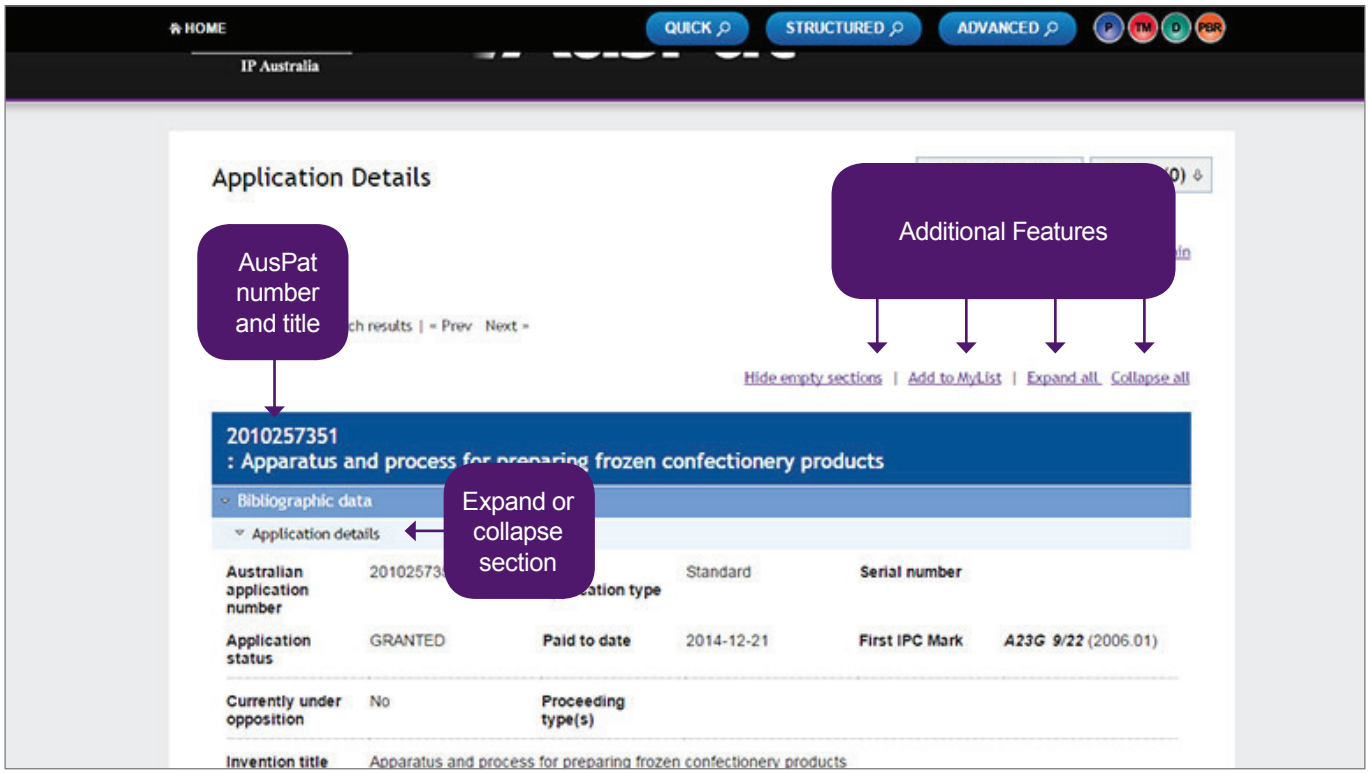
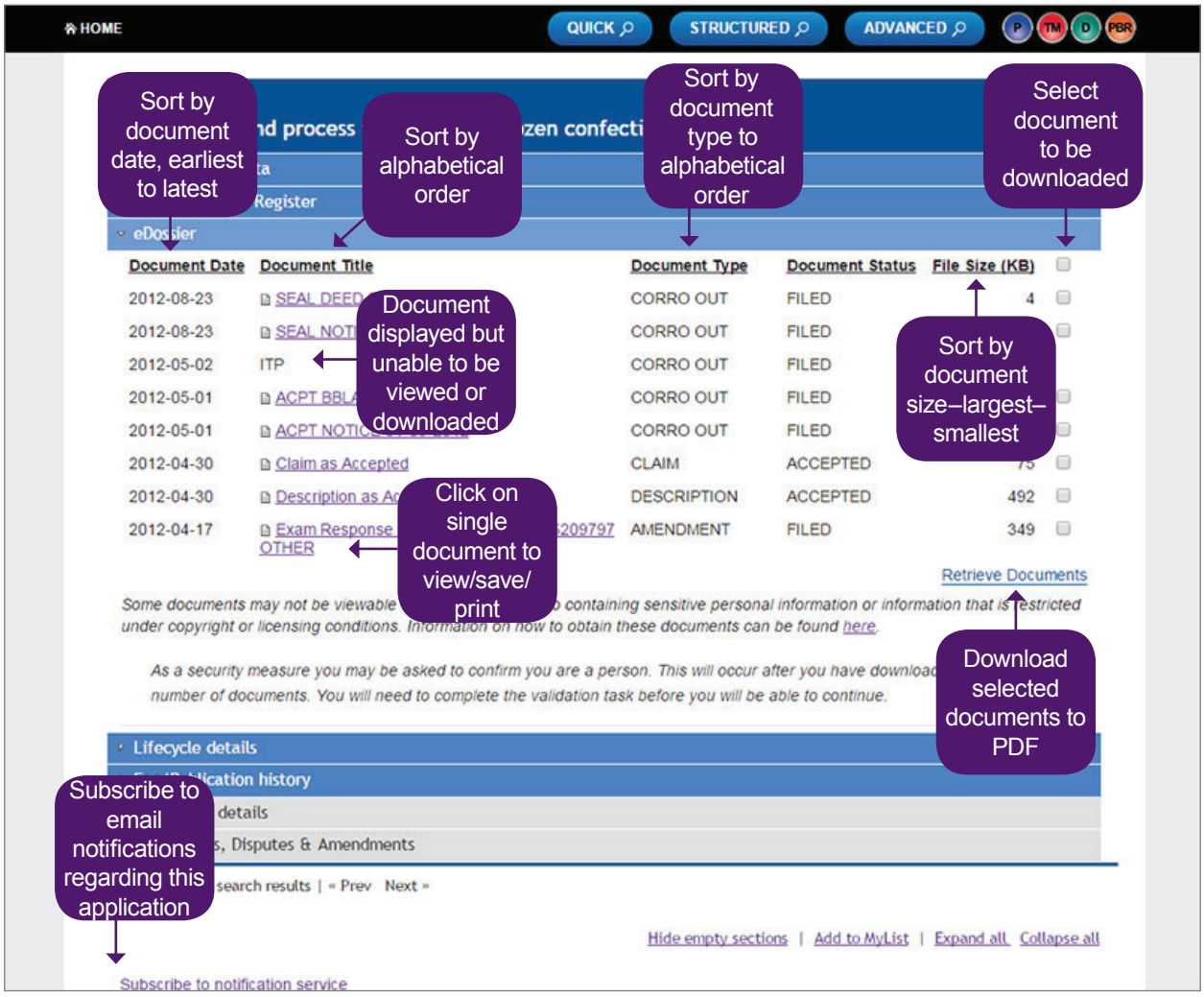



**Figure 6:** eDossier



# Searching with AusPat

| | Quick Search | Structured Search | Advanced Search |
|---|---|---|---|
| **Search by number** | Enter the number. | Select the Number field and enter the number. | Search in the Number field.<br>*Eg: 2004205230 IN NU* |
| **Search by keyword in title** | Enter the keywords or an "exact phrase" (wrapped in double quotes).<br>Your search will match applications that contain ALL of the words you enter, unless you separate words with the OR or NOT operator.<br>Note that your search results will include matches from the Inventor, Applicant, Agent and Title fields. | Select the Title field and enter the keywords.<br>Note that any words you enter will be treated as an exact phrase.<br>*Tip: you can search for multiple words by clicking "Add search term" and then selecting AND, OR or NOT to combine the terms.* | Search in the Title field.<br>*Eg: hair IN TI AND conditioner IN TI* |
| **Search by name** | Enter the words from inventor or applicant name.<br>Note that your search results will include matches from the Inventor, Applicant, Agent and Title fields. | Select the Inventor or Applicant field and enter one or more parts of the name.<br>Note that any words you enter<br>will be treated as an exact phrase.<br>*Tip: You can use wildcards and search for multiple words by clicking "Add search term" and then selecting AND, OR or NOT to combine the terms.* | Search in the Inventor or Applicant fields.<br>*Eg: peters?n IN INV*<br>Alternatively you can use the Name Selector to select and search for multiple names. |
| **Search by International Patent Classification (IPC)** | It is not possible to search by IPC in Quick Search. | Select the IPC Mark field and enter the classification code.<br>*Tip: Enter the IPC mark without any spaces. Use the * wildcard to truncate at any point* | Search in the IPC Mark field. |
| **Search by abstract keywords** | Tick the "Include abstract text" checkbox and enter keywords. | Select the Abstract field and enter the keywords.<br>Ensure the Include Full Text Search box is ticked.<br>Note that any words you enter will be treated as an exact phrase.<br>*Tip: you can search for multiple words by clicking "Add search term" and then selecting AND, OR or NOT to combine the terms.* | Search in the Abstract field.<br>Ensure the Include Full Text Search check box is ticked.<br>*Eg: rabbit IN AB AND fence IN AB* |

| | Quick Search | Structured Search | Advanced Search |
|---|---|---|---|
| **Search by claim keywords** | It is not possible<br>to search by claims keywords in Quick Search. | Select the Claims field and enter the keywords.<br>Ensure the Include Full Text Search check box is ticked.<br>Note that any words you enter will be treated as an exact phrase.<br>*Tip: you can search for multiple words by clicking "Add search term" and then selecting AND, OR or NOT to combine the terms.* | Search in the Claims field.<br>Ensure the Include Full Text Search check box is ticked.<br>*Eg: rabbit IN CS AND fence IN CS* |
| **Search by description keywords** | It is not possible to search by description keywords in Quick Search. | Select the Description field and enter the keywords.<br>Ensure the Include Full Text Search check box is ticked.<br>Note that any words you enter will be treated as an exact phrase.<br>*Tip: you can search for multiple words by clicking "Add search term" and then selecting AND, OR or NOT to combine the terms.* | Search in the Description field.<br>Ensure the Include Full Text Search check box is ticked.<br>*Eg: rabbit IN DS AND fence IN DS* |
| **Search for keywords in a full specification** | It is not possible to search by full<br>specification keywords in Quick Search. | Select the Full specification field and enter the keywords.<br>Ensure the Include Full Text Search check box is ticked.<br>Note that any words you enter will be treated as an exact phrase.<br>*Tip: you can search for multiple words by clicking "Add search term" and then selecting AND, OR or NOT to combine the terms.* | Search in the Full Specification field.<br>Ensure the Include Full Text Search check box is ticked.<br>*Eg: rabbit IN FS AND fence IN FS* |
| **Search for keywords in a published document kind** | It is not possible to search for keywords in a published document kind in Quick Search. | It is not possible to search for keywords in a published document kind in Structured Search. | Search in selected Document Kind fields.<br>Ensure the Include Full Text Search check box is ticked.<br>*Eg: rabbit IN DKA AND fence IN DKA*<br>*Tip: you can choose to search for text in published document kinds A, B or C by selecting the corresponding field – DKA, DKB, DKC.* |

## What search should you use?

| If you need to... | Use... |
|---|---|
| **Look up information on an application or patent** | Quick Search – simply enter the application or patent number. |
| **Look up Australian filing information for a Patent Corporation Treaty (PCT) application** | Quick Search – simply enter the PCT or WO number. |
| **Find all Australian patents or applications in a particular technology area** | Structured Search – select the IPC Mark field and enter the relevant IPC mark<br>OR<br>Advanced Search – choose appropriate keywords to restrict the search to the technology area you are interested in, and search in specification text. Eg:<br>(car IN FS OR vehicle IN FS OR truck IN FS OR automobile IN FS OR bicycle IN FS OR bike IN FS OR motor* IN FS) AND (wheel IN AB OR tyre IN AB). |
| **Constrain a search by a number of criteria** | Structured Search – AND additional fields with your search. |
| **Find applications from a particular applicant or inventor** | Advanced Search – use the Name Selector.<br>Tip: consider the variants of name of the organisation or person you are seeking.<br>For example the CSIRO may be rendered differently depending on what was typed on the patent application form Eg:<br>*CSIRO, C.S.I.R.O, Commonwealth Scientific Industrial Research Organisation, CSIRO Australia, Commonwealth Scientific and Industrial Organization, Commonwealth Scientific & Industrial Research Organisation, Comm. Scientific and Industrial Research Org.* |
| **Construct a complex search with numerous conditions** | Advanced Search – use parentheses to combine multiple criteria. Eg:<br>*(((car OR vehicle OR truck OR automobile OR bicycle OR bike OR motor*) AND (wheel OR tyre)) AND (granted IN ST)) NOT (goodyear IN AP)* |

## Refining your search

Once you have conducted a search in AusPat you can start a new search, refine your search query or search within the current set of results by clicking either the “Search within results”, “Refine your query” or “Start again” links located in the top right hand corner of the Search Results page.

| | |
|---|---|
| **Start again** | Click the Start again link to open a blank search screen The blank screen will be the same type as the search you just conducted. Eg: if you just completed a Structured Search, a blank Structured Search screen is opened. |
| **Refine your query** | Clicking the Refine your query link will take you back to the search you just submitted and allow you to make changes before submitting the search again. |
| **Search within results** | Clicking the Search within results link allows you to conduct another search within the results of your current search and not in the entire patents database.<br>Effectively this will “AND” the new search with the current search.<br>Note: Your search within results must begin with an expression (Eg: apple IN AP) and not an operator (Eg: NOT acer IN AP). If you want to begin with an operator, consider using “Refine your query” instead. |

## Searching for keywords

| | | |
|---|---|---|
| **Quick search** | By default, ALL of the words and numbers you enter must be present in one or more of the Quick Search fields. If you separate the words with OR, Quick Search will match ANY of the words or numbers you enter. You can also search for an exact phrase if you "enclose the phrase in quotes". | |
| **Structured search** | Any words entered into a text field (Eg: Title, Inventor, Agent, Abstract, Claims) will be treated as an exact phrase. You do not need to enclose an exact phrase in quotes in Structured Search mode.<br>For example, if you enter solar cells in the Invention Title field you will be returned a set of results that include the exact phrase "solar cells".<br>Operators are not available within fields in Structured Search.<br>*Eg: entering solar AND cells in the Title field will find all applications that contain the exact phrase "solar and cells".* | |
| **Advanced search** | By default, ALL of the words and numbers you enter must be present in one or more of the Advanced Search fields. Examples: | |
| | "solar cells" IN TI | This will search for all occurrences of the exact phrase "solar cells" in the title field. |
| | john IN INV AND smith IN INV | This will return all records where both john AND smith appear in the inventor field. |
| | pizz* IN AG | This will return all records from the Agent Name field that contain a word beginning with the characters pizz. |
| | john smith IN INV | This will return all records where john appears in any search field AND smith appears in the inventor field. |

## Searching with dates

Dates are entered as YYYY-MM-DD where:

- YYYY is a four digit year
- MM represents the month of the year (01 = January, 02 = February ... 12 = December)
- DD represents the day of the month e.g. 02, 05, 20, 31

In Advanced Search, dates are searched using the TO operator *Eg: fromdate TO todate IN datefield.*

This will return all records from and including fromdate up to and including todate.

| **The date field on the left is the FROM date. Date truncation is available in this field according to the following method.** | |
|---|---|
| YYYY-MM-DD | Will search for all records from this exact date. |
| YYYY-MM | Will search for all records from the 1st of the month MM. Eg: 2004–10 equates to 1October 2004. |
| YYYY | Will search for all records from the first day of the year YYYY. Eg: 2004 equates to 1 January 2004. |

| **The date field on the right is the TO date. Date truncation is available in this field according to the following method.** | |
|---|---|
| YYYY-MM-DD | Will search for all records to this exact date. |
| YYYY-MM | Will search for all records to the last day of the month MM. Eg: 2004 –10 equates to 31 October 2004. |
| YYYY | Will search for all records to the last day of the year YYYY. Eg: 2004 equates to 31 December 2004. |

## Searching for names

**Individual names**

Individual names are formatted as:

familyname, givenname

To search for applications where Mike Gamble is recorded as an inventor, you could take the following approaches:

| Quick Search | Structured Search | Advanced Search |
|---|---|---|
| Enter<br>mike gamble<br>*Note: You may receive unrelated results if you use Quick Search.* | Enter<br>gamble, mike<br>into the Inventor Name field. | Search for<br>“gamble, mike” IN INV |

Alternatively you could use the Name Selector in Advanced Search. Enter:

gamble

into the Inventor’s Name Selector and then scroll through the list until you find

gamble, mike

Click on the name and then click the “Add selection to your search” button. Execute the search to find Mike Gomble’s applications.

**Company names**

Names of Organisations are formatted the same way they appeared on the application supplied to IP Australia. To search for applications where “Morningside Holdings Pty. Ltd.” is recorded as an applicant, try:

| Quick Search | Structured Search | Advanced Search |
|---|---|---|
| Enter<br>morningside holdings<br>*Note: You may receive unrelated results if you use Quick Search.* | Enter<br>morningside holdings<br>into the Applicant Name field. | Search for<br>“morningside holdings” IN AP |

Alternatively you could use the Name Selector in Advanced Search. Enter:

morning

Into the Applicant’s Name Selector and then scroll through the list until you find

Morningside Holdings Pty. Ltd.

*Note that there are two versions of the name “Morningside Holdings Pty. Ltd.” and “Morningside Holdings Pty Ltd”.*

Click on both names and then click the “Add selection to your search” button. Execute the search to find applications from Morningside Holdings Pty. Ltd.

*Note: If you are using the Name Selector to find an organisation beginning with the word “The” you should ignore the “The”.*

e.g. to find The American National Red Cross type American National Red Cross

**Agent names**

Names of Agents are formatted the same way they appear in the application e.g.

Pizzeys Patent and Trade Mark Attorneys

To search for applications where Pizzeys Patent and Trade Mark Attorneys is recorded as an agent, you could take the following approaches:

| Quick Search | Structured Search | Advanced Search |
|---|---|---|
| Enter<br>pizzey* | Enter<br>pizzey* into the Agent Name field | Search for<br>“pizzey*” IN AG |

# Using the Selectors

## About the selectors

The Selectors are tools that help you locate name variations and Publication actions. You can access the selectors by clicking on the “Inventor Name” or “Applicant name” or “Publication Action” link on the Advanced Search page.

Imagine you are looking for applications filed by the inventor “Robert Carl Andrews”:

Typing

andrews, r

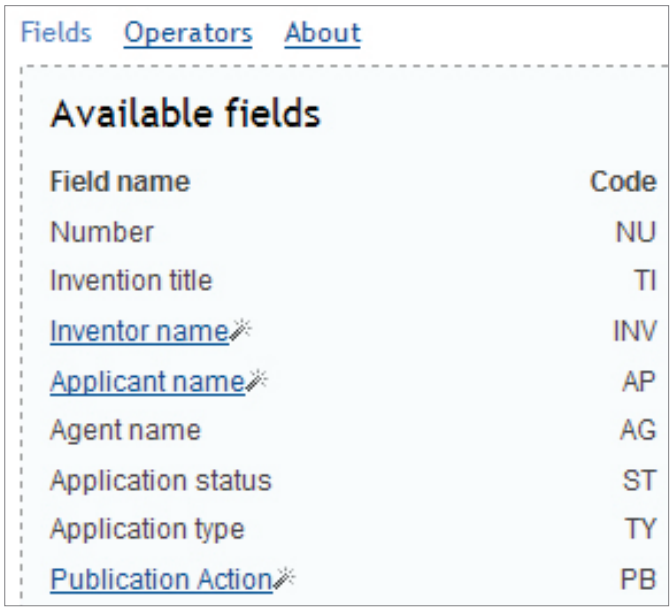
into the Name Selector yields the following results of interest

Andrews, Robert

Andrews, Robert C

Andrews, Robert C.

Andrews, Robert Carl




Each of these names might be the inventor you are after. Select each of them in the Name Selector and click the “Add selection to your search” button. This will yield results where any of the four names are cited as inventor.

*Note: The Name Selector returns a maximum of 150 results at a time. If you do not find the name you are looking for you will need to add more characters to your search.*

## Finding inventors and individual applicants

Names are stored and therefore searched as

familyname, givenname.

If you qualify the name with a given name, you must include the comma.

If the inventor has more than one given name they follow on from the initial given name.

## Finding applicants that are organisations

Names of Organisations are formatted the same way they appear in the application

The Arizona Board of Regents.

Typing

arizon

into the Name Selector yields the following results of interest:

Arizona Board of Regents

Arizona Board of Regents on behalf of The University of Arizona

Arizona Board of Regents, on behalf of, The University of Arizona

etc.

*Note: Do not use the word “The” at the beginning of an organisation. Name Selector searches a list of applicants that have all instances of a leading “The” moved to the end of the name.*

## Using wildcards

Wildcards are symbols that can substitute for one, zero, or many characters in a search, as detailed below.

| | What it will do | What it will no do |
|---|---|---|
| ? | Match exactly one character<br>Eg: peters?n in INV<br>will find matches for Peterson and Petersen | Match zero characters.<br>Eg: method? IN TI<br>will find matches for methode and methods but not method<br>instead, use the search<br>method* IN TI. |
| | | Match spaces.<br>Eg: power?plant IN TI<br>will find matches for power-plant but not power plant instead, use the search<br>power?plant IN TI OR “power plant” IN TI. |
| * | Match zero or more characters<br>Eg: carbon* in TI<br>Will find matches for carbon, carbonate, carbon-silicon, carbonaceous, carbonated, carbonyl, carbons etc | Match spaces<br>Eg: wiper*assembly IN TI<br>will not return “wiper assembly”. |

## Journal number formats

This allows you to search the publication volumes of the Australian Official Journal of Patents.

Journal numbers are entered as VV/II where VV is the two digit volume number. II is the two digit issue number.

*Note: You will get an error if you enter a journal number that is not correctly formatted. Volume/issue truncation is available in this field according to the following method.*

### The journal range field on the LEFT is the from Journal range

| Format | Meaning |
|---|---|
| VV/II | Will search for all records from this exact journal number. |
| VV | Will search for all records from the first issue of the journal in volume VV. Eg: 23 equates to 23/01. |
| [blank] | Will search for all publication actions from the first available journal (16/42). Your search will return all matched publication actions if both the FROM and TO fields are blank. |

### The journal range field on the RIGHT is the to Journal range

| Format | Meaning |
|---|---|
| VV/II | Will search for all records to this exact journal number. |
| VV | Will search for all records to the last issue of the journal in volume VV. Eg: 22 equates to 22/50. |
| [blank] | Will search for all publication actions to the current journal. Your search will return all matched publication actions if both the FROM and TO fields are blank. |

## MySearches

MySearches functionality will enable you to add searches conducted using Structured Search and Advanced Search to a MySearches list.

| | |
|---|---|
| **Add Search** | Will search for all records from this exact journal number. |
| **Removing Searches** | Will search for all records from this exact journal number. |
| **Execute Individual Searches** | Will search for all records from the first issue of the journal in volume VV. Eg: 23 equates to 23/01. |
| **Display a query stored in MySearches** | Will search for all publication actions from the first available journal (16/42). Your search will return all matched publication actions if both the FROM and TO fields are blank. |
| **Combining Searches** | Searches can be combined using the checkboxes within MySearches and clicking “Combine”. Searches will be combined using the OR operator as a default. Combined searches are copied to the Advanced Search input box where they can be edited. |
| **Saving Searches** | You can save searches in MySearches by clicking on “Save list”. The file will be saved in TXT format and you can rename the file and the location where it will be saved. |
| **Loading Searches** | You can load a saved list into MySearches by clicking on “Load list”. |

## MyList Reporting

MyList Reporting will allow you to report on patent applications as contained in MyList.

| | |
|---|---|
| **Format** | Will search for all records from this exact journal number. |
| **Data Elements Included** | Will search for all records from this exact journal number. |
| **Add application** | Will search for all records from the first issue of the journal in volume VV. Eg: 23 equates to 23/01. |
| **Removing applications** | Will search for all publication actions from the first available journal (16/42). Your search will return all matched publication actions if both the FROM and TO fields are blank. |

# Hints and Tips

## Copying and pasting from Microsoft Word

- Quotation marks copied into AusPat from Microsoft Word can occassionally cause degradation in performance. This is because Word has a default setting which changes “straight quotation marks” into “curly quotation marks”.
- Curly quotation marks are not a recognised operator in AusPat and search strings containing them generally time out.
- To change the default settings in Word:
  1. Select Tools and then select AutoCorrect Option.
  2. In the AutoCorrect dialog box:
     - Click the AutoFormat As You Type tab, and under Replace As You Type clear the “straight quotes” check box.
     - Click the AutoFormat tab, and under Replace, clear the “straight quotes” with “smart quotes” box.
     - Click the OK button.

## Names

- In the Name Selector, “The” preceding a company name is removed from the beginning and replaced at the end, so that “The Patenting Company Pty Ltd” becomes “Patenting Company Pty Ltd, The”. To find this name in the Name Selector start typing from “Patenting”, ignoring the word “The”.
- Punctuation of the original name is retained in the Name Selector, even though the punctuation may be insignificant characters when searching. E.g C.S.I.R.O. is listed in the Name Selector separately from CSIRO even though these may be the same organisation and return the same search results.
- Note that different variations of the same company name will need to be searched separately, and will appear as different names in the Name Selector. For example, CSIRO in the applicant name will require a different search to “Commonwealth Scientific and Research Organization” which may be different again to “Commonwealth Scientific & Research Organisation”.
- The Name Selector will only match the start of a name. It will not match a string of characters in the middle of a name.
- Searching for Applicant Names will return matches from both the Applicant Name and Old Name(s).
- Name formats for real people have been standardised as: FamilyName, GivenName OtherNames.

## Numbers

- A search of the Related Application Number field will find any associated additional/ divisional parent/child applications. You can enter the application number, serial number, or PCT number into the Related Application Number search field.
- Priority number searches will match both the original priority number supplied to IP Australia including any spaces or special characters (commas, hyphens, decimal points etc) and a standardised version that has spaces and special characters removed (leaving just alpha-numeric characters).
- Mainframe application numbers (formerly found in PATADMIN) can be found by their original application number and as a transformed 10 digit AusPat number.

  The AusPat number is a standardised 10 digit version of the mainframe application number used for identifying all applications in AusPat. As the first four digits represent the application year, all PAMS and mainframe applications from the same year will be together in a search results list. Eg: All 2002 applications will be listed before 2001 applications.

  Standard and petty patent applications with an application number like nnnnn/yy, nnnn/yy, nnn/yy, nn/yy, or n/yy become CCyy0nnnnn, CCyy00nnnn, CCyy000nnn, CCyy0000nn and CCyy00000n respectively, where yy is the application year and CC is the corresponding century (20 for years 00, 01 and 02, 19 for all others).
- Provisional application numbers like PMnnnn have an AusPat number formatted as CCYYPMnnnn, where CCYY is the century and year recorded as the provisional application filing date.
- PAMS applications using a 10 digit application number keep this number as their AusPat number.
- PCT numbers may be found using either PCT/CCyy/nnnnn or PCT/CCyyyy/nnnnnn formats. PCT numbers

have been standardised for display as PCT/CCyyyy/nnnnnn. Similarly, WIPO publication numbers may be found as either WOyy/nnnnn or WOyyyy/ nnnnnn and have been standardised for display as WOyyyy/nnnnnn.

## IPC Marks

- Do not include spaces when searching for IPC marks (eg: B23K11/093).
- Truncated IPC marks may be used in conjunction with wildcards when searching by replacing the rest of the IPC mark with a wildcard on the right. Eg: to find all applications within a particular IPC main group, enter the main group of the IPC mark, followed by a slash '/' and the * wildcard: B23K1/*.

  Omitting the slash character could give misleading results. For example, a search for B23K1* would return everything with main group B23K1/-, as well as everything in main groups B23K10/-, B23K11/-, B23K13/-, B23K15/- and B23K17/-, as well as everything with indexing codes B23K101/- or B23K103/-.

## Provisional applications

- Australian provisional applications can form priority to a complete application through being an associated provisional, or sometimes as a convention priority.
- A provisional can appear as a convention priority when a provisional forms a priority for a PCT application, and the PCT designates Australia. Where it forms a convention priority, AusPat will not show the corresponding complete application on the Provisional's application details page. Using the provisional number in the priority number search field (and AU as the priority country to further narrow the search results, if needed) will return all applications in AusPat using that Provisional as an associated complete, or as a convention priority.
- PCT applications filed after 2004 will not be in AusPat unless they have entered the national phase. These applications can be found in the WIPO search system by using the provisional number in the priority number search field, and AU as the priority country, once the PCT has been published by WIPO.

## Templates for different application types

- Different application types have different fields available for display. There are five different templates used to display data elements for the following kinds of patent applications in AusPat:
  - Standard
  - Complete
  - Innovation
  - Petty
  - Provisional
  - Most applications filed before 1979

## Keyword Searching

- Stopwords are words that are not indexed. However, where a stopword appears between two words, the relative order of the words is preserved. As a consequence, a search for the phrase "retracting the wheels" will return different results to the phrase "retracting wheels" with the stopword 'the' omitted. A search for "retracting a wheels" will also return "retracting the wheels" as both 'a' and 'the' are stopwords, and the relative position of the words 'retracting' and 'wheels' is the same.
- The wildcard '?' substitutes for exactly one character, unlike some other search systems where it can substitute for zero or one character. The asterisk '*' substitutes for zero to many characters.
- The percentage character (%) has been blocked from use in search terms for security purposes.
- Search terms should be in lower case. This means that priority country codes should be in lower case, even though they would normally be written in upper case. Using upper case may give incorrect results. For example, IN (which is the uppercase country code for India) is an AusPat operator.

## Quick Search

**Searching anomalies**

- Do not use Quick Search to search for dates or IPC marks. While some results may be returned for these searches, they will not accurately reflect IP Australia's data holdings. For example, entering a search term that resembles an IPC mark will only return applications where the IPC is listed as the "primary" or "first" IPC mark.
- Quick Search should only be used to search for patent or application numbers, keywords from the invention title, and applicant, inventor or agent name.
- You are advised to use Structured Search or Advanced Search to search for IPC marks and dates.

**Application status and type are searchable**

- You may receive additional unexpected results if your search includes any of the following words: accepted, certified, filed, granted, ceased, expired, refused, revoked, withdrawn, lapsed, converted, standard, innovation, provisional, petty.
- Consider using Structured Search or Advanced Search for greater precision.

## Structured and Advanced Search

**MySearches**

- Searches executed using Structured and Advanced Search can now be stored in MySearches. The search query is stored in advanced search form when it is saved in MySearches. The list of searches can be saved as a text file for re-use.
- Searches stored in MySearches can be combined. The combination is copied to the Advanced Search input box. The query can be edited or executed as an advanced search.

**Full Text Search**

- To include the text of the abstract, claims, description or full specification, check the Include Full Text Search box.
- To include the text from a published specification in one of the published document kinds A, B or C (Advanced Search only), check the Include Full Text Search box.

## Dates

- “Date of Patent” and “Expiry Date” only apply to granted patents. Patent applications show the dates expected should the application proceed to grant, based on the currently available data. During the prosecution of a patent application these dates may change.
- “Paid to Date” shows the date up to which continuation/renewal fees have been paid for an application or patent. It does not necessarily mean that the application patent is still active if the paid to date is a future date. Where this date is a future date, the application/patent status may indicate an inactive status if the application/ patent has already ceased, lapsed etc. The application /patent status should be considered to be active for up to six months after the “Paid to Date” has passed, as the relevant fee can be paid up to six months late.
- “Next Fee Due” is the anniversary number of the next continuation/renewal fee required to maintain the patent/application. This value also indicates the number of years for which continuation/renewal fees have been paid and is calculated as the number of years between the “Date of Patent” and the “Paid to Date”. This data element is not populated for patents of addition.
- “The year” part of a patent application number indicates the year the application was processed. Generally this will be the same as the year it was filed. However, in some circumstances this may be different. For example, innovation patent 2004100092 was converted from a standard patent application in 2004, but it keeps the original filing date which is 10 September 1999. Similarly, patent applications filed towards the
- end of December in one year will have a filing date for that year, but may not have been processed until January of the following year.
- When searching for dates AusPat will assume a default of 1904-01-01 if no FROM date is entered and today’s date if the TO date is blank. Of course, at least one FROM or TO date must be entered. Where the FROM date entered is a future date, the TO date will still default to today if you do not enter a date, giving misleading results (this would apply to an expiry date or a continuation/renewal fee paid to date search). In that case enter a TO date that is later than your FROM date.
- The “Australian OPI Date” data element is the date a patent application was available to the public in Australia. Generally, this is the date it was published (either by IP Australia or by WIPO if the PCT was filed after 1 January 2004). For PCT applications filed before 1 January 2004 this is usually the date a copy of the PCT application was received at IP Australia, after publication by WIPO.
- Only divisional parents have a date in the “Priority Date” field in “Priority Details”. This is the “Earliest Priority Date” of the divisional parent application.
- A search in the “Priority date” search field searches for “Earliest Priority Date”, the “filing date” of the priority application (for convention, associated provisional and divisional parent priorities) or the earliest priority date of any divisional parents shown as priority.

# Reference

## Number formats

| Number type | Format |
|---|---|
| Australian application number | yyyymnnnnn |
| PATADMIN application number | n/yy |
| | nn/yy |
| | nnn/yy |
| | nnnn/yy |
| | nnnnn/yy |
| PATADMIN serial number | nnnnnn |
| Old provisional number | PXnnnn |
| New provisional number | yyyyPXnnnn |
| WIPO number | WOyy/nnnnn |
| | WOyy/nnnnnn |
| | WOyyyy/nnnnnn |
| PCT number | PCT/CCyy/nnnnn |

| Key | Meaning |
|---|---|
| yyyy | four digit year |
| yy | two digit year (no century) |
| n | any digit in the range [0..9] |
| m | single digit that represents application type (1: Innovation, 9: Provisional, any other: Standard complete) |
| CC | two character country code |
| P | the character P |
| X | a single character in the range [A..Z] |
| PCT | the characters PCT |
| WO | the characters WO |
| / | the slash character |

## Advances search syntax

The basic syntax for the Advanced Search is

searchterm IN FIELDNAME

The IN operator and SEARCHFIELD must be in uppercase. Multiple search terms and fields can be combined using parentheses. For example:

(solar IN TI) AND ((2004 TO 2005) IN FD).

Search terms cannot be combined like this: (solar OR cells OR silicon) IN TI

Use solar IN TI OR cells IN TI OR silicon IN TI.

## Available fields

| Field name | Code | Field name | Code |
|---|---|---|---|
| Number | NU | Priority date | PRD |
| Invention title | TI | IPC mark | IPC |
| Inventor name | INV | Filing date | FD |
| Applicant name | AP | Australian OPI date | OD |
| Agent name | AG | National Phase Entry date | ND |
| Application status | ST | Expiry date | ED |
| Application type | TY | Continuation/Renewal fee paid to date | CD |
| Publication action | PB | Sealing date | SD |
| Related application number | RN | Pharmaceutical name | PN |
| Priority country | PRC | Select | SL |
| Priority number | PRN | Abstract | AB |
| Document Kind A | DKA | Claims | CS |
| Document Kind B | DKB | Description | DS |
| Document Kind C | DKC | Full specification | FS |

Additional advanced search field codes

| Publication action | Code |
|---|---|
| All Publication Actions | APB |
| Amendments | AM |
| Applications Accepted | AA |
| Patent Certified | AC |
| Application Filed | AF |
| Application Lapsed, Refused, Withdrawn, Patents Ceased or Expired | AT |
| Applications OPI | AO |
| Assignments | AS |
| Corrigenda | CO |
| Extensions of Term | ER |
| Extensions of Time, section 223 | ET |
| Letters Patent Sealed/Patent Granted | PS |
| Licences/ Mortgages/Changes registered | REG |
| Opposition Proceedings | OP |
| PCT Applications that have entered the National Phase | NPE |
| Patent Surrendered/ Revoked | SUR |

## Operators

| | |
|---|---|
| AND | logical AND<br>Eg: this AND that will search for records that contain both “this” and “that” in the specified search fields.<br>This is the default for words or numbers not separated by another operator in Quick Search and Advanced Search.<br>The AND operator must be entered in uppercase. |
| OR | logical OR<br>Eg: this OR that will search for records that contain either “this” or “that” in the specified search fields.<br>The OR operator must be entered in uppercase. |
| NOT | logical NOT<br>Eg: this NOT that will search for records that contain “this” but not “that” in the specified search fields.<br>Be careful you don’t unintentionally exclude records when you use the NOT operator. The NOT operator must be entered in uppercase. |
| IN | Match value in search field in Advanced Search<br>Eg: method IN TI – will match applications with the word “method” in the title. |
| TO | Specify date range in Advanced Search<br>Eg: 2004-10-01 TO 2004-10-15 IN FD – will match records with a filing date from the 1st to the 15th of October 2004. |
| “ “ | Exact phrase<br>Eg: searching for “small items” will ensure that you don’t collect results with an inventor or applicant called “Small”.<br>This is the default for words entered into Structured Search. Eg: you do not have to enclose an exact phrase in quotes. |
| * | Wildcard replacing zero or more characters<br>May appear at the start, middle or end of a word. Using the * wildcard at the start of a word will significantly increase search times and may cause your search to time out. |
| ? | Wildcard replacing exactly one character<br>May appear at the start, middle or end of a word. Eg: searching for “h?t” would match “hat” or “hit” but not “heat”.<br>Both forms of wildcard may be used together in any combination desired, e.g.”un*gra?ing”. |
| /n/ | Proximity search operator for “within n words of” Eg: “black /5/ white” IN CS<br>This will search for the word “black” within 5 words of the word “white” in the specified field, in either order.<br>n can be from 1 to 9.<br>Spaces are required between the search words and the operator in the expression. When used in quick or advanced search, the expression must be enclosed in “quotes”. When used in structured search, the quotes are not required. |

## Operators (words that are reserved in AusPat)

The following words are reserved words (or operators) and used to perform specific tasks in AusPat. You can only search for these words if you use lowercase.

Note that not all of these operators are documented or in use in AusPat.

AFTER, AND, BEFORE, BUTNOT, CONTAINS, EXCEPT, GE, IN, LABEL, LE, NOT, OR, TO, XOR

The following characters and character sequences are operators and used to perform specific tasks in AusPat.

You can only search for these words if you enclose them in “quotes”. Note that not all of these operators are documented or in use in AusPat.

...

..

()

-

?

*

\\

//

\n\

/n/ (where n is a number)

## Operator Precedence

Search expressions are evaluated according to the following precedence. Note that not all of these operators are documented or in use in AusPat.

1. Phrases
2. // LABEL IN EXCEPT TO BEFORE AFTER
3. \\
4. ... .. AND OR NOT

Operators of the same precedence are processed from left to right. Structured Search queries are evaluated from top to bottom. Parentheses may be used to change precedence.

## Capitals, punctuation and special characters

| Character | Behaviour | If you are not getting the results you expect, try... |
|---|---|---|
| Uppercase letters | Words in capitals indicate a reserved word.<br>You might get unexpected results if you capitalise reserved words (like AND, OR etc) in your searches. | Enter all your searches in lowercase. Only capitalise Operators and Field labels. |
| Lowercase letters | Words in lowercase are treated as search terms.<br>You will not get the results you expect if you do not capitalise reserved words (like AND, OR etc) in your searches. | Capitalise all Operators and Field labels. |
| Separator characters<br>~ : = \| \ ( )<br>{ } [ ] < > | These characters are treated as a space. For example:<br>vapour\liquid<br>will be indexed as two words – 'vapour' and 'liquid' | |
| Insignificant characters<br>` ! * " ' ; ?<br>. ' – | These characters are ignored. Searching for "word.word"<br>will only match "wordword"<br>will not match "word"<br>Searching for "bbq."<br>will match "B.B.Q." and "BBQ" | |

## Stop words (words that you cannot search for)

The following words are not indexed by AusPat. In your search, a stop word is treated as a space.

| | | | |
|---|---|---|---|
| a | claims | may | this |
| about | comprises | means | those |
| abstract | description | more | to |
| according | drawings | not | thereof |
| all | each | of | thus |
| also | example | or | use |
| an | for | other | used |
| and | from | said | using |
| and/or | following | same | was |
| any | has | specification | were |
| are | have | such | which |
| be | having | than | with |
| because | herein | that | where |
| been | given | the | when |
| being | in | their | wherein |
| between | includes | then | will |
| but | including | there | within |
| can | into | these | |
| claim | its | they | |

## Limits and boundaries

AusPat has a number of built-in limits and boundaries to help improve performance.

| | |
|---|---|
| Number of records returned in a search | The maximum number of records that will be returned for any search is 5000.<br>If your search returns 5000 or more records you will receive a message similar to this one:<br>Your search for method returned 198509 results. Here are the first 5000 results.<br>If you need to review results sets with more than 5000 results consider restricting the number of results by adding a date range to your query. |
| Sorting large result sets | Note that if you sort a result set containing more than 5000 records, only the 5000 records in the result set are sorted. |
| Number of entries in MyList | The maximum number of entries you can store in MyList at any one time is 200. Consider saving your MyList file and starting a new one if you need to keep more than 200 entries. |
| Name selector | The name selector requires a minimum of two characters to operate. A maximum of 150 names are returned through the name selector. |
| Structured Search | A maximum of 20 criteria can be combined to form a single search in Structured Search. |
| Data refresh cycle | AusPat data is updated each evening. To determine when the data was refreshed check the foot of the Search Results page: |
| Characters in fields | A 600 character limit applies to search expressions in Quick Search. A 600 character limit applies to search expressions in Structured Search. A 2000 character limit applies to search expressions in Advanced Search. |
| MySearches | A maximum of 10 searches can be stored at any one time. |
| Specification text search | Specifications are captured in a text searchable format using Optical Character Recognition (OCR). The limit of the OCR (which converts images into the text searchable format) may cause mis-spellings and affect your text searching results. Please refer to the PDF image for the authoritative version. |

## What kind of browser do I need?

AusPat requires Internet Explorer 6.0 (or other modern browser) and a minimum screen size of 800 x 600.

To take advantage of all the features of AusPat you'll also need to have both JavaScript and cookies enabled.

| | |
|---|---|
| What if I have an older browser? | If you have an older browser you may not see content on the screen formatted as you would expect. |
| What if I have cookies disabled? | If you do not have cookies enabled we will not be able to remember how you set up AusPat.<br>You will have to turn off Hide/Show help prompts and reset the columns in Search Results and agree to the disclaimer each time you visit. |
| What if I have JavaScript disabled? | If you do not have JavaScript enabled you will still be able to use AusPat.<br>However some of our advanced functions like rearrange columns in Search Results, the Name Selector in Advanced Search and refining a Structured Search will not work. |

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